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1631



POWER OF ATTORNEY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Usuka *et al.*

Confirmation Number: 3878

Serial No.: 10/015,167

Group Art Unit: 1631

Filed: December 11, 2001

Examiner: Cheyne D. Ly

For: SYSTEM AND METHOD FOR  
PREDICTING CHROMOSOMAL  
REGIONS THAT CONTROL  
PHENOTYPIC TRAITS

Attorney Docket No.: 9080-016-999

**REVOCATION AND POWER OF ATTORNEY OR AUTHORIZATION OF AGENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Roche Palo Alto LLC (assignee) hereby revokes any and all previous powers and appoints:

☒ Practitioners at Customer Number 20583, all of Jones Day, whose address is 222 East 41st Street, New York, New York 10017; (ii) Brett Lovejoy, Reg. No. 42,813; (iii) Robert C. Hall, Reg. No. 39,209; (iv) Brian L. Buckwalter, Reg. No. 46,585; (v) David J. Chang, Reg. No. 50,374; and (vi) Grant D. Green, Reg. No. 31,259, and each of them, my attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

as its/their attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

- ☒ Customer Number.20583
- ☒ Practitioners at Customer Number 20583
- ☒ Firm or Individual Name:

Address: Jones Day  
222 East 41st Street  
New York, New York 10017

Telephone: (212) 790-2803

Roche Palo Alto LLC is the:

- ☐ Applicant/Inventor
- ☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
(Statement under 37 CFR 3.73(b) is applicable)

**Statement Under 37 C.F.R. 3.73(b)**

Roche Palo Alto LLC states that it is:

- ☒ the assignee of the entire right, title, and interest; or  
☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 100 %

in the patent application/patent identified above by virtue of either:

- ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office on \_\_\_\_\_ at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

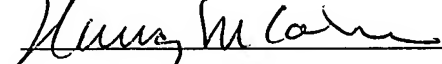
1. From: Jonathan Andrew Usuka, Andrew Grupe and Gary Allen Peltz to: Syntex (U.S.A.) LLC. The document was recorded in the United States Patent and Trademark Office on April 9, 2002 at Reel 012571, Frame 0790.

2. From: Syntex (U.S.A.) LLC To: Roche Palo Alto LLC  
A copy of the Certificate of Amendment effecting this change of name is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.
- ☒ Copies of assignments or other documents in the chain of title are attached.  
[Note: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

**ASSIGNEE: Roche Palo Alto LLC**

Date: 2 March 2004 Signature:   
Typed Name: Nancy M. Cohen  
Position/Title: Vice President

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required.

- ☒ Total of 1 form is submitted.

APRIL 10, 2002

ROCHE BIOSCIENCE  
ROHAN PERIES  
3401 HILLVIEW AVE  
PATENT LAW DEPARTMENT M/S A2-250  
PALO ALTO, CA 94304



PTAS

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

**\*700012041A\***

\*700012041A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/09/2002

REEL/FRAME: 012571/0790  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GROUPE, ANDREW

DOC DATE: 04/04/2002

ASSIGNOR:

PELTZ, GARY ALLEN

DOC DATE: 03/18/2002

ASSIGNOR:

USUKA, JONATHAN ANDREW

DOC DATE: 03/18/2002

ASSIGNEE:

SYNTEX (U.S.A.) LLC  
3401 HILLVIEW AVENUE  
PALO ALTO, CALIFORNIA 94304

SERIAL NUMBER: 10015167  
PATENT NUMBER:

FILING DATE: 12/11/2001  
ISSUE DATE:

012571/0790 PAGE 2

SEDLEY PYNE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

04/09/2002

700012041

Form PTO-1585  
1-0-02

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name and address of conveying party(ies):

1. Andrew Grupe
2. Gary Allen Peltz
3. Jonathan Andrew Usuka

2. Name and address of receiving party(ies):

SYNTEX (U.S.A.) LLC  
3401 HILLVIEW AVENUE  
PALO ALTO, CALIFORNIA 94304

3. Nature of conveyance: ☒ ASSIGNMENT

Execution Date of Assignment:

(1) 04-Apr-2002; (2) 18-Mar-2002; (3) 18-Mar-2002

4. Application number(s) or patent number(s):

A. Patent Application No.(s)

U.S. Serial No. 10/015,167, filed December 11, 2001

Attorney Docket No. R0108B-CIP

B. Patent No.(s)

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: ROHAN PERIES

Address: ROCHE BIOSCIENCE  
PATENT LAW DEPARTMENT M/S A2-250  
3401 HILLVIEW AVE  
PALO ALTO, CALIFORNIA 94304

6. Total number of applications and patents involved:

ONE

7. Total fee (37 CFR 3.41)..... \$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit Account Number: 18-1700

**DO NOT USE THIS SPACE**

9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Mona Anand Reg. 34,537

Name of Person Signing

*Mona Anand*

Signature

4/9/02

Date

Total number of pages including cover sheet, attachments and documents: 5

**ASSIGNMENT**

RBS No. R0108B-CIP

WHEREAS, We, Andrew Grupe, Gary Allen Peltz and Jonathan Andrew Usuka ("Assignors") having the respective addresses indicated below, have invented certain subject matter entitled **"System and Method for Predicting Chromosomal Regions That Control Phenotypic Traits"** (the "Invention"), described in patent application U.S. Serial No.10/015,167, filed December 11, 2001, for Letters Patent of the United States of America (the "Application");

AND WHEREAS, Syntex (U.S.A.) LLC, a company of Delaware, having an address at 3401 Hillview Avenue, Palo Alto, California 94304 ("Syntex"), desires to perfect its right to the Invention and in the Letters Patent(s) to be obtained therefor from the United States of America and all countries foreign thereto;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors acknowledge Syntex's interest in the Invention and hereby assign to Syntex for the United States of America and all countries foreign thereto all our rights, title and interest, including all rights under the Paris Convention for the Protection of Industrial Property, in the Invention, as described and claimed in patent application U.S. Serial No.10/015,167, or in any subsequent patent application(s) filed under 35 U.S.C. §111(a), claiming benefit of said Application under 35 U.S.C. §119(e), or 35 U.S.C. §120, or in any continuation, continuation-in-part, continued prosecution application, divisional, substitute, reissue, reexamination or extension thereof and any legal equivalent thereof in a country foreign to the United States of America; the Invention, application and Letters Patent(s) to be owned by Syntex, its successors, assigns and legal representatives, to the full end of the term for which such Letters Patent(s) may be granted.

Assignors hereby covenant that they have the full right to convey the entire interest assigned herein and have not executed and will not execute any agreement in conflict herewith.

Assignors further covenant to execute and deliver upon request and without undue delay, to Syntex, its successors, assigns and legal representatives, all lawful documents necessary or desirable to effect this assignment and perfect the title to the Invention, Application and Letters Patent(s) and all foreign patents and applications claiming priority thereto.

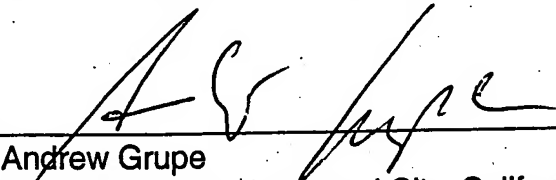
Assignors further covenant to cooperate and participate in any administrative or legal proceeding and execute all lawful documents necessary or desirable for Syntex, its successors, assigns and legal representatives to obtain, maintain and enforce patent protection in the Invention in all countries, provided that Syntex reimburses Assignors for any expenses incurred therewith by Assignors.

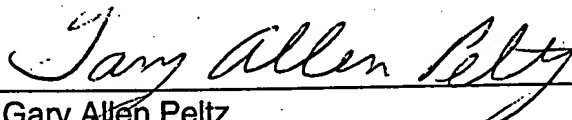
ASSIGNMENT

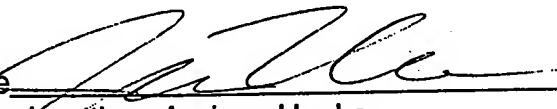
RBS No. R0108B-CIP

This assignment is effective as of the earlier of the date of execution of this document or the filing date accorded by the United States Patent and Trademark Office to patent application U.S. Serial No.10/015,167, as indicated in the Filing Receipt for said Application.

I have read and understand this Assignment document for the Application, and agree hereto, as indicated by my signature as set forth below.

Signature  Date 4/04/02  
Andrew Grupe  
554 Jeter Street, Redwood City, California 94062

Signature  Date 3/18/02  
Gary Allen Peltz  
110 Danbury Lane, Redwood City, California 94061

Signature  Date 3/18/02  
Jonathan Andrew Usuka  
220 Chestnut Avenue, Palo Alto, California 94306

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Santa Clara

SS.

On 18-March-2002, before me, Christina G. Myers, Notary Public,  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Gary Allen Peltz and Jonathan Andrew Usuka,  
Name(s) of Signer(s)

☒ personally known to me  
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Christina G. Myers  
Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

### Description of Attached Document

Title or Type of Document: assignment inventors to Syntex (USA) LLC for  
U.S. patent application 10/015,167, filed December 11, 2001

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: Andrew Grupe

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☒ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: self

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of ALAMEDA

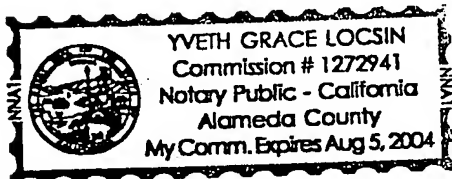
} ss.

On APRIL 4, 2002 before me, YVETH GRACE LOCSIN  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared ANDREW GRUPE  
Name(s) of Signer(s)

☒ personally known to me  
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Place Notary Seal Above

WITNESS my hand and official seal.

Yveth Grace Locsin  
Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: \_\_\_\_\_

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "SYNTEX (U.S.A.) LLC", CHANGING ITS NAME FROM "SYNTEX (U.S.A.) LLC" TO "ROCHE PALO ALTO LLC", FILED IN THIS OFFICE ON THE TWENTY-THIRD DAY OF DECEMBER, A.D. 2002, AT 4 O'CLOCK P.M.



3205906 8100

030585329

*Harriet Smith Windsor*

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 2627285

DATE: 09-11-03

CERTIFICATE OF AMENDMENT

OF

SYNTEX (U.S.A.) LLC

1. The name of the limited liability company is, upon the effective time of this amendment, Roche Palo Alto LLC.

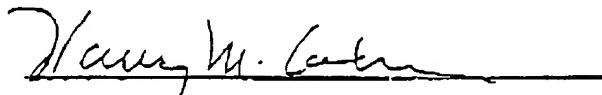
2. The Certificate of Formation of the limited liability company is hereby amended as follows:

The paragraph labeled "FIRST" is changed to read, The name of the limited liability company formed hereby is Roche Palo Alto LLC.

The heading is changed to read, CERTIFICATE OF FORMATION OF ROCHE PALO ALTO LLC.

3. This Certificate of Amendment shall be effective on 12:01 am, January 1, 2003.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Amendment of Syntex (U.S.A.) LLC this 20<sup>th</sup> day of December, 2002.



Nancy M. Cohen  
Vice President, Secretary